



Carolyn A. Garcia

Associate

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OVERVIEW

Carolyn Garcia is an associate and member of the Asset Management and Investment Funds practice. She advises registered funds, business development companies, asset managers, and fund sponsors on regulatory matters involving the Investment Company Act of 1940, Investment Advisers Act of 1940, Securities Act of 1933, Exchange Act of 1934, and related US Securities and Exchange Commission (SEC) requirements. Her experience includes supporting periodic reports and related public-company disclosures, fund governance and compliance matters, offering materials, private credit and co-investment transactions, supervisory controls, cybersecurity, recordkeeping, and regulatory examinations and enforcement inquiries.

This is a temporary biography. A complete biography will be available soon.

PROFESSIONAL BACKGROUND

Prior to joining the firm, Carolyn served as an associate at a global law firm where she advised clients on capital markets, investment, and investment services matters. She previously held legal and externship positions with the SEC, the US District Court for the Eastern District of Pennsylvania, and financial services organizations.

PROFESSIONAL / CIVIC ACTIVITIES

- Member, District of Columbia Bar
- Member, Hispanic Bar Association of the District of Columbia

EDUCATION

- J.D., Temple University Beasley School of Law, 2023
- B.A., University of Texas Rio Grande Valley, 2017

ADMISSIONS

- Bar of District of Columbia

AREAS OF FOCUS

- Asset Management and Investment Funds